



Program Announcement ● Application Instructions and Forms

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Table of Contents

| | |
|---|------------|
| The Safe Schools/Healthy Students Initiative | 1 |
| Audio Teleconferences..... | 2 |
| Eligibility..... | 2 |
| Safe Schools/Healthy Students Grant Applications Requirements..... | 2 |
| Determining Your Urbanicity..... | 5 |
| Safe Schools/Healthy Students Allowable Activities..... | 6 |
| National Evaluation Activities | 11 |
| School Resource Officers—The COPS Program | 12 |
| Selection Criteria | 13 |
| Instructions for Assembling Your Application | 16 |
| Contact Information | 21 |
| Checklist..... | 22 |
| Frequently Asked Questions | 24 |
| Federal Government Administrative Requirements for Review and Compliance | 28 |
| Appendix A: Definitions..... | 31 |
| Appendix B: General Application Forms | 37 |
| Appendix C: U.S. Department of Education Special Requirements..... | 59 |
| Appendix D: U.S. Department of Health and Human Services Special Requirements..... | 63 |
| Appendix E: COPS Application Forms | 69 |
| Appendix F: Contact Lists | 123 |
| State Single Point of Contacts | |
| Single State Agency Coordination for Mental Health | |

The Safe Schools/Healthy Students Initiative

Promoting safe and healthy environments in which America's children can learn and develop is the overarching goal of the Safe Schools/Healthy Students Initiative. Violence and substance abuse in schools compromise the educational climate and endanger teachers and students. Therefore, the U.S. Departments of Education, Health and Human Services, and Justice are collaborating to ensure that Federal funding is channeled to schools and communities like yours that can work together to provide comprehensive educational, mental health, social, law enforcement, and juvenile justice system services that promote healthy child development and school environments that are safe, disciplined, and drug-free.

This grant competition focuses on projects designed to meet the following priority: implementing and enhancing comprehensive community-wide strategies for creating safe and drug-free schools and promoting healthy childhood development. Applicants proposing a project must demonstrate how the funds they are requesting support or enhance a comprehensive, integrated strategy for an entire school district (or entire school districts in the case of a consortium) that is designed to create a safe and drug-free schools and promote healthy childhood development. The applicant must propose evidence-based approaches and include, at a minimum, the following six elements: (1) safe school environment; (2) alcohol and other drugs and violence prevention and early intervention; (3) school and community mental health preventive and treatment intervention programs; (4) early childhood psychosocial and emotional development services; (5) educational reform; and 6) safe school policies.

In the fall of 1999, 54 community partnerships from across the Nation were awarded the first grants under the Safe Schools/Healthy Students Initiative. In April 2000 another 23 partnerships received grants, and in April 2001 a third cohort of 20 partnerships became Safe Schools/Healthy Students sites.

Grants range up to \$3 million per year for urban partnerships, up to \$2 million per year for suburban partnerships, and up to \$1 million per year for rural and tribal partnerships. (See Page 5, "Determining Your Urbanicity"). Successful grant applicants may receive awards annually for up to 3 years, subject to progress achieved and the continued availability of funds. and progress achieved.

In making awards under this grant program, the Federal partners may (1) take into consideration the geographic distribution and diversity of activities addressed by the projects, in addition to the rank order of the applicants, and (2) in accordance with Section 75.217(d) of the Education Department General Administrative Regulations, ensure equitable distribution of grants under this program among urban, suburban, and rural local educational agencies. Contingent upon the availability of funds, the Federal partners may make additional awards in Fiscal Year 2003 from the rank-ordered list of unfunded applicants from this competition.

Audio Teleconferences

The funding agencies will be holding a series of 1-hour audio teleconferences to explain the Initiative in greater detail. Visit the agencies' Web sites (www.ed.gov/offices/OESE/SDFS; www.mentalhealth.org; www.samhsa.gov; and www.ojjdp.ncjrs.org) for further information. These sessions will focus on eligibility requirements, grant application requirements, and the application review process.

Eligibility

A local educational agency (see Appendix A for definition of local educational agency) that develops a Safe Schools/Healthy Students (SS/HS) comprehensive plan in partnership with its local public mental health authority (see Appendix A for definition of local public mental health authority) and its local law enforcement agency may apply for an SS/HS grant.

A consortium of local educational agencies (LEAs) may submit a single application; however, any consortium applying for funding must designate a single LEA as the fiscal and management entity. The location of the LEA representing the consortium will affect the size of the consortium's grant award, in accordance with the maximum amount of funding applicants can receive under urban, suburban, and rural categories. A consortium will not be eligible to receive multiple awards. Each participating LEA must sign the partnership agreement with the local law enforcement and public mental health authorities.

LEAs that have received a grant under this initiative in Fiscal Years 1999, 2000, or 2001, or have received services under this initiative as part of a grant to a consortium in those years, may not apply for funding in FY 2002.

Safe Schools/Healthy Students Grant Application Requirements

To be eligible for funding, applicants must:

- Develop a SS/HS application that addresses the following six elements: (1) safe school environment, (2) alcohol and other drugs and violence prevention and early intervention programs, (3) school and community mental health preventive and treatment intervention services, (4) early childhood psychosocial and emotional development programs, (5) educational reform, and (6) safe school policies.
- Show evidence of a partnership comprising the local educational agency, local public mental health authority, and local law enforcement agency. Applicants are encouraged to include other entities in the partnership. For example, community- and faith-based organizations, juvenile justice and family court officials, and family members, teachers, and students could all play important roles in developing and implementing the initiative.

- Include two formal written agreements. The first must describe the goals and objectives of the partnership and include a delineation of the roles and responsibilities of each partner. This agreement must contain the signatures of the school superintendent, the head of the local public mental health authority, and the chief law enforcement executive. If a consortium of LEAs is applying for funds, the superintendent of each participating LEA must sign this agreement. Include this agreement in Appendix I of your application.

The second written agreement must contain the signatures of the school superintendent, and the head of the local public mental health authority. This agreement must describe the procedures to be used for referral, treatment, and follow-up for children and adolescents with serious mental health problems. Evidence of enhanced integration, coordination, and resource sharing of mental health and social service providers in schools and other community-based programs is especially sought. If a consortium of LEAs is applying for funds, the superintendent of each participating LEA must sign this agreement. Include this agreement in Appendix II of your application.

- Provide an assurance that Federal requirements in the Gun-Free Schools Act (regarding possession of firearms at school and reporting of firearm offenses to appropriate law enforcement officials) and the Pro-Children Act (regarding tobacco use in facilities used to provide educational services) are being enforced.
- Develop and submit performance indicators for the grant. Performance indicators must link to proposed goals and objectives for the grant, include baseline data (if available), levels of performance for each indicator, timeframes for achieving levels of performance for each indicator, and source of data for measuring progress on each indicator. Applicants must select at least one performance indicator for each of the six required program elements. These core indicators are intended to be used by grantees as a tool to assist in the management of the grant and to focus attention on progress being made by the grantee. You may consider including your performance indicators in the Goals and Objectives section of your grant application.

Examples of indicators for the elements include:

Safe School Environment

- rates of school crime
- student perceptions of the school environment as safe

Alcohol and Other Drugs, Violence Prevention, and Early Intervention

- prevalence of alcohol and other drug use by students
- rates of fighting, interpersonal injury, weapon carrying, and gang-related crime in schools

School and Community Mental Health Prevention and Treatment Intervention Programs

- incidence and prevalence of mental disorders among students (e.g., conduct and related problems, depression, anxiety disorders)
- presence of screening, assessment, and referral mechanisms for mental disorders in the school setting

Early Childhood Psychosocial and Emotional Development Services

- incidence of adverse mental health outcomes (e.g., conduct problems and other antisocial behaviors, depression, anxiety disorders) among young children
- number and types of services for early childhood psychosocial and emotional development

Educational Reform

- measures of interaction and coordination between academic staff, student support staff, and school security staff
- use of interventions that teach positive behavior as a supplement or an alternative to other disciplinary approaches
- measures of academic achievement for students

Safe Schools Policies

- presence and enforcement of discipline codes and penalties/sanctions for infractions
- awareness of established policies
- penalties/sanctions for infractions that emphasize continuing connections to school
- policies that establish zero -tolerance for drugs and weapons on school premises

- Select evidence-based (see Appendix A for definition) programs and activities for implementation as part of the SS/HS initiative. The application, in the Design of Proposed Strategy section, must include a rationale for the selection of programs and activities that will be implemented by the applicant. This rationale should include information about the research base that supports selected programs and activities, as well as a discussion about why the selected program or activity is appropriate for the target population, and meets needs identified in the needs assessment process. Information about the research base for programs or activities may reference either specific program evaluations or accepted theory from youth development or human development research.
- Provide a local plan for evaluating the community-wide strategy and agree to set aside at least 7% of the project budget per year to fund this local evaluation.
- Agree to participate in national evaluation activities of the Initiative.
- Include in the application an appendix that addresses the requirements described in Appendix C if you are requesting funds to support activities under Element 1 (Safe School Environment); Element 2 (Alcohol and Other Drugs and Violence Prevention and

Early Intervention); Element 5 (Educational Reform); and Element 6 (Safe School Policies).

- Include in the application an appendix that addresses the requirements described in Appendix D if you are requesting funds to support activities under Element 3 (School and Community Mental Health Preventive and Treatment Intervention Services) and Element 4 (Early Childhood Psychosocial and Emotional Development Services).

Determining Your Urbanicity

The maximum amount of funds that an applicant is eligible to receive is based on the applicant's urbanicity. Urban districts may receive grants of up to \$3,000,000 per year. Suburban districts may receive grants of up to \$2,000,000 per year. Rural districts (including tribal school districts) may receive grants of up to \$1,000,000 per year. Grants will not be awarded for amounts that exceed these established caps. Applicants should ensure that their budget requests do not exceed the caps.

The definitions of rural, suburban, and urban are based upon school locale codes utilized by the National Center for Education Statistics (NCES) Common Core Data (CCD) Public School Universe Data Information. These locale codes were systematically assigned by the Geography Division, Bureau of the Census. Codes were assigned based on the classification of the area in which each district is located. This was done by matching addresses from the CCD School Universe Survey to the U.S. Census Bureau's City Reference File. For purposes of this Initiative, Urban districts are those with a locale code of Large City or Mid-Size City; Suburban districts are Urban Fringe of a Large or Mid-Size City; and Rural districts are those with a locale code of Large Town, Small Town or Rural.

To determine your urbanicity, you must use the National Public School and School District Locator to find the correct locale code for your district. The Locator is available online at the following URL:

<http://nces.ed.gov/ccdweb/school/index.asp>

Please state your locale code and urbanicity (urban, suburban, rural or tribal) in box "13" on the ED Standard Form 424.

If your district is not in the District Locator, please contact the Safe and Drug-Free Schools Program at (202) 260-3954 for assistance.

Safe Schools/Healthy Students Allowable Activities

Federal funds can be used to support all or some of the activities described in the SS/HS

comprehensive plan. If Federal funds will be used to support only some of these activities, the others may be funded from different sources. However each SS/HS comprehensive plan must describe the six elements defined below, including the activities that will be carried out during the grant period for each element and the manner in which the activities will be integrated in a comprehensive approach. Applicants that do not request funds for certain activities under any one or more elements must explain how these needs will otherwise be met during the grant period. In addition, there are other allowable activities you may consider for funding such as developing and implementing a communications strategy; developing and implementing a sustainability plan; and local evaluation activities. *(Please note that you are required to set aside at least 7% of your project budget per year for local evaluation activities.)*

Activities allowable under the six elements of the SS/HS comprehensive plan are described below:

1. Safe School Environment

School safety activities that may be supported with SS/HS grant funds come under three categories:

- Building a partnership with local law enforcement.
- Minor remodeling of school facilities to improve school safety.
- Security equipment and personnel.

Under element 1, no more than 10 percent of funds proposed for that element may be used to support costs associated with (1) security equipment and personnel, and (2) minor remodeling of school facilities to improve school safety.

Partnership with local law enforcement. School Resource Officers may be part of your comprehensive plan. Funding for this program comes from Community Oriented Policing Services (COPS) sponsored by the U.S. Department of Justice. The application forms for this program are included in Appendix E of this application package. Please see the separate section on School Resource Officers for a full description.

Other partnership activities with local law enforcement that may be supported include conducting security assessments; developing crisis preparedness guidelines; designing enforcement and investigation techniques; enhancing links with community officials and families; and providing staff development programs.

Applicants may also consider activities that bring together police officers and mental health professionals to provide each other with training, consultation, and support, and to provide direct interdisciplinary intervention to children who are victims, witnesses, or perpetrators of violent

crime.

Minor remodeling of school facilities. Construction costs are not allowable, but minor repairs or renovations to redesign classroom space and to set up portable classrooms may be allowable in some cases. Installing adequate lighting and breakproof doors and window locks, minimizing private storage areas, and eliminating removable ceiling panels are important safety measures all schools can adopt. Schools should be designed to limit the access of unauthorized persons, increase the ability of school staff to visually supervise all areas of the school facility, and reduce crowding.

Security equipment and personnel. Measures that can be taken include identifying security equipment needs and installing security devices (such as metal detectors and surveillance cameras) and providing students and staff with identification cards. Funds can be used to hire security personnel to monitor security equipment and/or devices. The hiring of School Resource Officers is not permitted under this element. Applicants must apply for funding of School Resource Officers by completing the forms in Appendix E.

The key to security is adequate staffing and training. Relying on security devices alone can have a negative impact on the mental health of children and youth. Understanding the developmental needs of children and the risk and protective factors in the child, family, school, and community are important to developing a comprehensive approach to school security.

2. Alcohol and Other Drugs and Violence Prevention and Early Intervention

Many schools have developed and implemented instructional programs to address alcohol and other drug abuse, violence, and other problems young people face. Although these are necessary, they are insufficient standing alone. They need to be coordinated with broader environmental strategies that create change not just at the individual, classroom, and school levels, but also at the family, community, and societal levels. Examples of coordinated strategies that create change include: (1) involving representatives of the targeted families and communities in the design and delivery of mental health, early intervention, substance abuse, and violence prevention programs and encourage community ownership of these programs; (2) reshaping attitudes and beliefs regarding mental health, substance abuse, and violence; (3) providing social and recreational activities and mentoring in a developmentally appropriate manner as alternatives to substance abuse and violence; (4) providing services to prevent alcohol and drug use and violence, and provide early interventions to promote the healthy development of children and youth; (5) providing training and consultation to school personnel; and (6) providing supportive services to families, such as family strengthening programs.

Recognizing the importance of the family is critical. Research has suggested that family interventions aimed at improving parenting practices and the family environment can be effective in reducing later youth problem behaviors and alcohol and drug abuse. A comprehensive strategy

demands that schools collaborate with families and other agencies, such as social service, juvenile justice, law enforcement, and recreational, to create prevention programs. These strategies must also take into account the culture, language, gender, race/ethnicity, disability, and other factors of the populations served.

3. School and Community Mental Health Preventive and Treatment Intervention Services

Many children and adolescents have mental health needs but are unable to access appropriate high-quality mental health services. Such children are frequently victims of violence (such as child abuse, sexual abuse, and/or assault) and witnesses to violence (including domestic violence, school violence, and community violence, including trauma and terrorism). They may be also include children and adolescents with conduct disorders and related problems, who exhibit aggressive antisocial behavior or who abuse drugs. Other children who suffer from depression are at increased risk for suicide or self-inflicted violence but may not have easy access to appropriate mental health services and may not have been identified as in need of services.

The mental health element of the SS/HS comprehensive plan has a dual purpose: to provide mental health preventive services early to reduce risk of onset or delay the onset of emotional and behavioral problems for some children and to identify those children who already have serious emotional disturbance and ensure that they receive appropriate referral, treatment, and follow-up services. For this reason, the SS/HS Initiative requires a formal arrangement between school and public mental health entities concerning the delivery of mental health services for children and adolescents with more serious mental health problems to complement school-based preventive and early treatment intervention services. In all cases, schools should plan their programming to ensure that they are participating in both delivering and receiving mental health services and support.

4. Early Childhood Psychosocial and Emotional Development Services

Under this element, the SS/HS Initiative will support evidence-based activities that make available a core network of services and supports to high-risk families with young children not yet enrolled in school and to high-risk expectant mothers. These activities should be part of a continuum of family-focused preventive and treatment services that enable young children to enter school ready to learn. The following are examples of services that may be offered: (1) prenatal physical and mental health home visitation by nurses; (2) integrated physical and mental health services for mothers and infants (e.g., developing parenting skills, fostering relationship building between mother and infant); (3) support for families whose children need child care, case consultation, crisis intervention, or integrated therapy; and (4) help for caregivers and teachers working with families to address the social and emotional needs of children. Since younger children are not yet enrolled in school and therefore cannot be reached through the school system, proposed activities may include strategies for overcoming the barriers to identifying and serving families in need.

5. Educational Reform

The plan for educational reform may describe what steps the applicants are taking in the following areas: (1) high standards for all students and the creation of an environment conducive to learning; (2) use of technology and the Internet in the classroom; (3) talented, trained, and dedicated classroom teachers; (4) expanded after-school learning opportunities; and (5) provision of alternatives to typical disciplinary actions, including interventions that teach positive behavior.

Aspects of educational reform that may be eligible for funding under the SS/HS Initiative are staff training (if the training focuses on knowledge and skills needed to maintain order and discipline, the prevention of bullying and other harassing behaviors, or the implementing of drug and/or violence prevention education into classroom teaching and school activities), and expanded after-school programs. Applicants are encouraged to coordinate resources and activities funded under this Initiative with Elementary and Secondary Education Act Title I and other programs.

6. Safe Schools Policies

In describing activities regarding safe schools policies in your application, you may consider the following: (1) clear standards of student behavior, which take into account the social and emotional needs of children; (2) a discipline code based on respect that is widely understood by parents, teachers, and students; (3) penalties that are fairly and equitably imposed, and are commensurate with the severity of the infraction, and provide alternative interventions that teach positive behaviors; (4) zero tolerance for firearms on school grounds; (5) reintegration of students from the juvenile justice system; (6) management information systems for reporting and analyzing violent and noncriminal incidents; and (7) policies and procedures to ensure that parents and the larger community are welcome in the schools and have opportunities for meaningful participation in planning and carrying out the school's safety policies.

7. Other Allowable Activities

Local Evaluation

A strong, ongoing evaluation process within and across grantee communities is critical to the achievement of SS/HS goals and objectives. All sites will be required to carry out a local evaluation within their community. As an integral component of the Initiative, the purpose of the local evaluation is to provide timely information for strategic planning, measuring progress, making programmatic adjustments, and keeping each project focused on the Initiative's overall objective of promoting healthy childhood development and preventing violence and alcohol and other drug abuse. Equally important, information from a well-conducted evaluation is an important tool in sustaining the SS/HS effort after Federal funding has ended. In addition to a local evaluation within the community, grantees will participate in cross-site evaluation efforts as members of an evaluation consortium.

At the local level, applicants must demonstrate a strong commitment to making evaluation an integral part of their SS/HS planning and implementation activities. Specific procedures to be used in evaluating their goals and objectives must be described in the application, including how progress on each of the required SS/HS elements will be measured. All SS/HS sites are required to set aside sufficient funds for evaluation. Based on previous experience, a minimum of 7 percent of the project budget per year is required; more is strongly encouraged. Applicants are encouraged to join with a local university, research organization, or other appropriate entity to assure a sound evaluation.

The local evaluator should be a core member of the local SS/HS team, and should play a central and critical role in fostering communication among partners, facilitating data-driven decisions, addressing systemic change, and providing information on outcomes of interest for sustainability after Federal funding has ended.

Each grantee community will conduct a site-specific evaluation to document and assess development and implementation of its comprehensive, integrated program. The evaluation must address the elements of this Initiative. It, and must include how well the program(s) and/or services are implemented, how closely the implementation matches the comprehensive community-wide strategy's goals, and how much of the program(s) and/or services participants actually receive.

The primary responsibilities of the local evaluator may include, but are not limited to, the following:

- As a core member of the local SS/HS team, work with the site to strategically plan activities that will achieve the program goals and objectives.
- Design and implement a process evaluation of the overall local program. The purpose of the process evaluation is to describe how program activities were implemented and whether goals and objectives were met.
- Provide the site with data that can be used to make adjustments in service delivery and improve the overall local SS/HS program.
- Design and implement a process evaluation of local adaptation and fidelity of implementation of selected evidence-based programs.
- Design and conduct an outcome evaluation. The purpose of this evaluation is to determine whether specific, evidence-based intervention packages are producing their intended effects in targeted SS/HS populations.

Sustainability

Applicants are encouraged to develop a sustainability plan that focuses on the concept of sustaining school and community collaborations that create safe and drug-free schools and promote healthy childhood development. The essence of sustainability is integrating your SS/HS strategy into the fabric of existing support programs and services designed to enhance outcomes for children, youth, and communities. Integrating resources derived from various sectors can help develop, over time, a comprehensive, multifaceted, and integrated approach that is strong and enduring. Critical areas for consideration include: a framework to mobilize political, school, family and community resources; funding options; and; creative community activities.

Communications

Applicants may consider developing a communications plan, integrating social marketing (see Appendix A for definition) principles that are in concert with the community-based, integrated Safe Schools/Healthy Students approach. The plan should include strategies for determining the following: need(s) of target audiences; developing appropriate communication messages, materials and activities, and ensuring an appropriate implementation and dissemination plan. The plan should be integrated with the basic elements of the Safe Schools/Healthy Students Initiative, be community-based and culturally competent, and should be developed in collaboration with the messages and social marketing strategies employed by the larger Safe Schools/Healthy Students Initiative.

National Evaluation Activities

Cross-site evaluation consortia will be formed after grant awards have been made. For example, consortia might be regional or they might be based on urbanicity, activities, or other characteristics. Each consortium will include several grantee communities.

Communities will participate directly in the design and execution of cross-site evaluation activities, including the development of research questions, research methodology, selection of a common protocol, data analyses, and reporting. A data coordination center will be selected through a separate process to provide technical and logistic support, data management, and assistance for evaluation consortia.

School Resource Officers—The COPS Program

As part of the SS/HS Initiative, applicants can apply for funding from the Office of Community Oriented Policing Services (COPS), U.S. Department of Justice for the hiring of School Resource

Officers (SROs). Many communities have discovered that trained, sworn law enforcement officers, trained and assigned to schools, make a positive difference in promoting a safe learning environment. The program has two benefits: (1) schools benefit from onsite security and a direct link to local law enforcement agencies, and (2) law enforcement agencies are given an opportunity to participate in a joint problem-solving approach with LEAs in addressing school and community violence. Community policing officers, who are also more familiarly known as SROs, typically perform a variety of functions within the school. They combine law enforcement and education. They teach crime and substance-abuse prevention classes, engage students in developmentally appropriate (see Appendix A for definition) social and recreational programs, and build respect between police officers and students.

Funds are available to provide for a designated portion of the salary and benefits for new school resource officers. Applicants proposing to hire SROs as part of their strategy, and who wish to apply for Federal funds to do so, must complete the COPS forms in Appendix E and submit them along with their Safe Schools/Healthy Students grant application. Please note that additional instructions and information for completing the COPS forms in Appendix E are available at http://www.usdoj.gov/cops/cis_sshs_2002/e04021503_appinst2.pdf

The SS/HS Initiative seeks applications that will help agencies solve school-related problems beyond the life of the grant. These outcomes are anticipated:

- Increased ability of policing agencies, schools, and community groups to work together in developing innovative, systematic, long-term approaches to increasing and maintaining a nonviolent school environment and reducing and preventing different kinds of crime and disorder in and around their schools.
- Measurable impacts on crime and disorder problems, an improved quality of life for those affected (students, teachers, school personnel, parents), and decreased fear of crime and violence among students, school employees, and community members.
- An increased body of knowledge for communities, criminal justice researchers, and practitioners on creative approaches being employed by schools and communities to address school-related crime problems.

Selection Criteria

Your application will be reviewed for technical merit in accordance with the specific review procedures established for this Initiative. Ratings are based on a point system, with 100 points being a perfect score. The program narrative that you submit must follow the sequence and format established by the review criteria headings, which are given below along with the number of points assigned to each section.

Problems To Be Addressed (15 points)

In assessing the extent to which the application is based on a clear and accurate statement of the significant problems faced by the target community, the following factors are considered:

- The magnitude or severity of the problem(s) to be addressed by the proposed strategy;
- The extent to which existing gaps in services, infrastructure and resources exist, and the magnitude of those gaps and weaknesses;
- Evidence of community risk factors that may contribute to youth violence, drug use, and delinquency; and
- The extent to which the problem statement includes an assessment of the community resources available for children and adolescents.

Goals and Objectives (10 points)

In assessing the goals and objectives, the following factors are considered:

- The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable; and
- The extent to which the objectives identified are related to measurable action steps needed to achieve the goal(s).

Design of Proposed Strategy (30 points)

Grant applicants must develop a comprehensive plan with an integrated strategy for an entire LEA that supports and enhances, at a minimum, the following six elements: (1) safe school environment; (2) alcohol and other drugs and violence prevention and early intervention; (3) school and community mental health preventive and treatment intervention programs; (4) early childhood psychosocial and emotional development services; (5) educational reform; and (6) safe school policies.

In circumstances where implementation of the strategy for an entire LEA is not possible, applicants must provide a full explanation of how selected schools will receive services under all six elements of the plan, and why district-wide implementation is not feasible or appropriate.

A critical feature of the Initiative is the integration of new and existing services and activities into a comprehensive approach to violence prevention and healthy development.

In assessing the design of the proposed strategy, the following factors are considered:

- The extent to which the proposed strategy represents a comprehensive, integrated approach that addresses the six elements of the Safe Schools/Healthy Students Initiative;
- The extent to which the intervention is appropriate for the age and developmental levels, gender, and ethnic and cultural diversity of the target population, and demonstrates the ability to engage and respond to the needs of identified ethnic and racial minority populations;
- The extent to which the application clearly describes the programs, activities, and services that comprise the proposed strategy, and details how they will be implemented;
- The extent to which the proposed programs and activities are evidence based;
- The extent to which the proposed strategy will be coordinated with similar or related efforts and will establish linkages with other appropriate agencies and organizations providing services to the target population;
- The likelihood that the proposed project will result in system change or improvement; and
- The potential for continued support of the strategy after Federal funding ends, including, as appropriate, the demonstrated commitment of suitable appropriate entities to such support.

Evaluation Plan (15 points)

In determining the quality of the evaluation plan, the following factors will be considered:

- The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies.
- The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

- The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project; and
- The adequacy of the identified performance measures to demonstrate whether and to what extent the proposed strategy is meeting its short-term, intermediate, and long-term objectives.

Management and Organizational Capability (20 points)

In determining the quality of management and organizational capability, the following factors are considered:

- The relevance and demonstrated commitment of each partner in the proposed strategy (as demonstrated in the written agreements) to the implementation and success of the strategy, and how they will participate in the proposed project;
- The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
- The adequacy of procedures for communicating and sharing information among all partners to ensure feedback and continuous improvement in the operation of the proposed comprehensive plan;
- The skills, experience, time commitments, and educational requirements of key staff and their relevance to the objectives of the proposed comprehensive plan; and
- The extent to which staff qualifications and training represent diverse and relevant experience in engaging and providing services to underserved, underrepresented, and/or diverse racial and ethnic groups.

Budget (10 points)

In determining the quality of the budget, the following factors will be considered:

- The extent to which the costs are reasonable in relation to the number of students to be served and to the anticipated benefits and results;
- The extent to which fiscal control and accounting procedures will ensure prudent use, proper and timely disbursement, and accurate accounting of funds received under the grant.

Instructions for Assembling Your Application

A complete application comprises the following documents in this order:

- (1) Title Page. Use Standard Form 424 “Application for Federal Assistance.” Standard Form 424, or a reasonable facsimile, must be completed in accordance with the instructions provided in Appendix B of this application package. Record the Catalog of Federal Domestic Assistance Number, 84.184L, Safe and Drug-Free Schools and Communities Act National Programs - Federal Activities Grants Programs on line 4 of the form.
- (2) Assurances, Certifications, and Disclosure. Assurances, certifications, and disclosure forms are included in this application package. These forms must be reviewed, signed on the last page by the individual identified in Item 15a of the Standard Form 424, and submitted with the application. Failure to submit the signed assurances, certifications, and disclosures will delay any possible award.

Copies of the following forms that address assurances, certifications are available in Appendix B of this application package:

- ED Form 424B (Assurances) includes a list of assurances that govern the use of Federal funds for federally assisted projects.
 - ED Form 80-0013 (Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements) commits the applicant to compliance with certification requirements.
 - ED Form 80-0014 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion) is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.
 - Standard Form LLL (Disclosure of Lobbying Activities) is pursuant to Title 31 U.S.C. Section 1352. Filing a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, or a member of Congress in connection with a covered Federal action. *Note: This form is not required if there are no lobbying activities to disclose.*
- (3) Table of Contents. The table of contents should identify the page number for each of the major sections of the program narrative portion of the application, in addition to each

appendix.

- (4) Abstract. The Project Abstract, limited to 200 words, highlights key points of the proposed project. The abstract should briefly present the project's goals and how the applicant intends to accomplish them. The applicant's name (as shown in item 1 of Form 424) and title (as shown in item 13 of the same form) should be clearly marked on this page.
- (5) Program Narrative. The application's program narrative is the body of the Safe Schools/Healthy Students comprehensive plan. It should provide details of the integrated, comprehensive community-wide strategy developed by the LEA and its partnering agencies. It should provide a comprehensive framework and description of all aspects of the proposed project. It should be written in a manner that is self-explanatory to reviewers unfamiliar with the prior related activities of the applicant. It should be succinct and well organized, must use section labels that match those provided in the table of contents, and must contain all the information necessary for reviewers to understand the proposed project. *Please follow the format headings and sequencing listed in the Selection Criteria. Applicants should carefully review this section for a discussion of the selection criteria and required information.*
- (6) Budget Detail Worksheet and Budget Narrative. *(Note: This section will NOT be counted towards the total page limitation of the program narrative portion of the application).*

The Budget Detail Worksheets and Narrative help translate the program narrative into dollars. This project will be funded for up to 3 years in 3 one-year budget periods. Grant funds may only be used for expenses clearly related and necessary to carry out the grant activities which can be specifically identified with the project. Funding after the first year is contingent upon grantee performance, the availability of Federal funds, and any additional criteria established at the time of award.

Applicants must submit a 3-year budget segmented into **one-year** budget periods. **This 3-year, line-item budget should be reflected on the budget summary form, ED Form No. 524.** In each budget year applicants must budget funds for travel and related expenses for up to five (5) persons to attend the National SS/HS Conference in Washington DC. Additionally, applicants must budget a minimum of 7% of each annual total budget for local evaluation purposes. **All budgets should include both direct and indirect costs.**

For the proposed project's first year, applicants must submit a budget that is further divided according to the six elements of the comprehensive plan; that is, six separate line-item budgets should be delineated that together constitute the first year's budget. Budgeting by plan element is important because different agencies fund

different elements. **All costs—even those attributable to more than one element—should be included within the 6-element, first-year budget.** That is, the total of any cost that can be associated with more than one element (e.g., personnel, travel, local evaluation, etc.) should be divided by the number of elements that are being implemented and allocated to each element under the appropriate budget category. No additional categories should be devised to account for such costs.

Accordingly, a supporting budget narrative should be broken down by element. The budget narrative should provide sufficiently detailed information to determine if the proposed costs are reasonable, allocable, and allowable.

Applicants are strongly encouraged to use the enclosed budget worksheet and outlined format. Applicants are also strongly encouraged to use a computer spreadsheet program (e.g., Microsoft Excel, Lotus, etc.) to assist with budget calculation.

- (7) Appendices. *(Note: The Appendices do not count toward the total page limitations that apply to the program narrative.)*

The appendixes may include *only* the items specified in these instructions. The appendixes *must not* be used to extend or replace any of the required sections of the application's program narrative portion. Appendixes must be clearly labeled and all pages must be numbered continuing in sequence from the last page of the program narrative. The following appendixes must be included:

Appendix I: Agreement of LEA, Mental Health, and Law Enforcement

Appendix II: Agreement between LEA and Mental Health

Appendix III: Organizational Structure/Timeline/Staffing Patterns for Safe Schools/Healthy Students Initiative

Appendix IV: Other Appendixes that include additional forms and requirements as part of this application submission (forms and requirements in Appendixes C, D, and E in this application package—see information below).

- Applicants requesting funds to hire School Resource Officers must complete the forms in Appendix E and include them with the application in Appendix IV.
- Applicants requesting to use SS/HS grant funds to pay for activities under Element 1 (Safe School Environment); Element 2 (Alcohol and Other Drugs and Violence Prevention and Early Intervention); Element 5 (Educational Reform); and Element 6 (Safe School Policies) must address the requirements of the General Education Provisions Act (GEPA) in Appendix C.

- Applicants requesting to use SS/HS grant funds to pay for activities under Element 3 (School and Community Mental Health Preventive and Treatment Intervention Services) and Element 4 (Early Childhood Psychosocial and Emotional Development Services) must address the Confidentiality and Participant Protection requirements and coordinate with the Single State Agency Coordination for Mental Health as described in Appendix D.

(8) Submitting Your Application

All applicants are required to submit one original (signed in black ink) and four copies (unbound). All pages should have printing on only one side. All pages of the application, including the appendices, must be numbered. **The program narrative section for this application may not exceed 30 pages in length. Each page must be 8.5 inches by 11 inches; be doubled spaced (no more than three lines per vertical inch); have margins of one inch on the top, bottom, and sides; contain type on only one side; and use a type font that is either 12-point or larger or not smaller than 10 pitch (characters per inch).** Peer reviewers will not read any pages of your application that exceed the page limit if you apply these standards, or that exceed the equivalent of the page limit if you apply other standards. These requirements are designed to prevent an applicant from gaining an unfair competitive advantage by providing a more extensive discussion than the requirements permit and to facilitate evaluation of applications by peer reviewers by ensuring that applications are readable.

Do not attach anything to the application that cannot be photocopied using an automatic process, i.e., anything stapled, folded, pasted, or in a size other than 8 1/2 x 11 inches on white paper.

Applications Sent by Mail

You must mail the original and two (2) copies of the application on or before the deadline date to:

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.184L
Washington, DC 20202-4725

To help expedite our review of your application, we would appreciate you voluntarily including two (2) additional copies of your application.

You must obtain one of the following as proof of mailing:

- A legibly dated U. S. Postal Service Postmark.
- A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- A dated shipping label, invoice, or receipt from a commercial carrier.
- Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- A private metered postmark.
- A mail receipt that is not dated by the U.S. Postal Services.

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark in all post offices. Before relying on this method, you should check with your local post office.

Special Note: Due to recent disruptions to normal mail delivery, we strongly encourage you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions for “Applications Delivered by Hand.”

Applications Delivered by Hand

You or your courier must hand deliver the original and copies of the application by 4:30 p.m. (Eastern time) on or before the deadline date to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# 84.184L
7th and D Streets, SW
ROB-3, Room 3671
Washington, DC 20202-4725**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Eastern time), except Saturdays, Sundays and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

Contact Information

Questions regarding this application should be directed to:

**Kellie Dressler Tetrick
Safe Schools/Healthy Students Program Coordinator
Office of Juvenile Justice and Delinquency Prevention
U.S. Department of Justice
810 7th Street, N.W.
Washington, DC 20531
(202) 514-4817
(202) 353-9096
dresslek@ojp.usdoj.gov**

Safe Schools/Healthy Students Application Checklist

This checklist is provided to assist you in preparing and compiling your application package for funding. Attach a copy of this completed checklist to your application to ensure compliance with the application process and to assist in the review process.

General Application Forms

- ☐ **ED Form 424**
- ☐ **ED Form 524**
- ☐ **Standard Form 424B (Assurances)**
- ☐ **ED Form 80-0013 (Certifications)**
- ☐ **ED Form 80-0014 (Certifications)**
- ☐ **Standard Form LLL (Disclosure of Lobbying Activities)**

Safe Schools/Healthy Students Grant Application Requirements

- ☐ **Application addresses the six elements: (1) safe school environment; (2) alcohol and other drugs and violence prevention and early intervention; (3) school and community mental health preventive and treatment intervention programs; (4) early childhood psychosocial and emotional development services; (5) educational reform; and 6) safe school policies.**
- ☐ **A written agreement signed by the school superintendent, the head of local public mental health authority, and the chief law enforcement executive. Include this agreement in Appendix I of your application.**
- ☐ **A second written agreement signed by the school superintendent and the head of the local public mental health authority. Include this agreement in Appendix II of your application.**
- ☐ **Provide an assurance that Federal requirements in the Gun-Free Schools Act and the Pro-Children Act are being enforced.**
- ☐ **Include performance indicators in your application.**
- ☐ **Provide a local plan for evaluating your SS/HS strategy and set aside at least 7% of**

the project budget per year to fund this local evaluation.

Project Specifications

- ☐ **Table of Contents**
- ☐ **Abstract**
- ☐ **Program Narrative**
- ☐ **Budget Worksheet and Budget Narrative**
- ☐ **Appendices**
 - Appendix I: Agreement of LEA, Mental Health, and Law Enforcement**
 - Appendix II: Agreement between LEA and Mental Health**
 - Appendix III: Organizational Structure/Timeline/Staffing Patterns for Safe Schools/Healthy Students Initiative**
 - Appendix IV: Other Appendixes that include additional forms and requirements as part of this application submission (forms and requirements in Appendixes B, D, and E in this application package—see information below).**
- ☐ **COPS Forms--Applicants requesting funds to hire School Resource Officers must complete the forms in Appendix E and include them with the application in Appendix IV.**
- ☐ **U.S. Department of Education Special Requirements--Applicants requesting to use SS/HS grant funds to pay for activities under Element 1 (Safe School Environment); Element 2 (Alcohol and Other Drugs and Violence Prevention and Early Intervention); Element 5 (Educational Reform); and Element 6 (Safe School Policies) must address the requirements of the General Education Provisions Act (GEPA) in Appendix C.**
- ☐ **U.S. Department of Health and Human Services Special Requirements--Applicants requesting to use SS/HS grant funds to pay for activities under Element 3 (School and Community Mental Health Preventive and Treatment Intervention Services) and Element 4 (Early Childhood Psychosocial and Emotional Development Services) must address the Confidentiality and Participant Protection requirements and coordinate with the Single State Agency Coordination for Mental Health as described in Appendix D.**

Frequently Asked Questions

Do applicants have to submit separate applications to all the agencies involved in this Initiative?

No. Part of the uniqueness of this Initiative is that applicants need submit only one application for funds, regardless of the type of activities being planned.

May I use grant funds to purchase guns, vehicles, and other equipment for School Resource Officers?

Grant funds may not be used to provide equipment for law enforcement officers.

Must I submit a COPS application to receive funding for a School Resource Officer?

Yes. The Department of Justice provides funding for School Resource Officers through the Office of Community Oriented Policing Services.

What kinds of data might I provide in the Problems to be Addressed section?

Baseline assessment of risk factors among students, such as (a) students engaged in alcohol and drug use and violent behavior; (b) incidence and prevalence of alcohol and drug use by youth; (c) prevalence of weapons in schools; (d) incidents of serious and violent crime in schools; (e) truancy and other unauthorized absences; (f) suicidal behaviors; (g) student suspensions and expulsions for drug use or violent behavior; (h) students on probation; (i) students in juvenile justice placements; (j) students in foster care and child protective services; (k) students with emotional and behavioral disorders; (l) children abused and neglected; and (m) school attendance and performance.

An assessment of community risk factors such as (a) socioeconomic conditions as measured by the percentage of families at or below the poverty level and percentage of students receiving free and reduced meals at school; (b) population turnover; (c) racial and ethnic heterogeneity; (d) housing density; (e) household composition; (f) crime and delinquency rates including domestic violence and rape; and (g) suicide rates.

An assessment of resources and services available to students and their families, such as (a) number of afterschool programs; (b) number of youth served by programs to build social skills; (c) number and quality of community mental health and social service organizations available to provide services to children, adolescents, and families; (d) number of youth participating in academic readiness programs; (e) number and types of early intervention services and programs; (f) number and types of law enforcement prevention programs; (g) number of substance abuse programs; and (h) presence of a community anti-drug coalition.

How should my application address sustainability in the narrative section?

Your application should address the concept of sustaining a “movement” not a “program.” Critical areas to address include: a framework to mobilize political, school, family and community resources; funding options; and creative community activities.

What are some examples of allowed activities around sustainability?

Partnership building activities; communications and media activities; and technical assistance.

How do I find out who is our local public mental health authority? What if I don’t have one?

Contact your Single State Agency for Mental Health listed in Appendix F. The local public mental health authority is the legally constituted entity closest to the community level that, directly or under contract with the State mental health authority, provides administrative control or oversight of mental health services in the community.

Is there a matching or in-kind requirement?

No. However, you must identify in your application any additional non-Federal funds, such as matches or in-kind contributions, that will support your SS/HS strategy.

Who designates that an organization is a Local Educational Agency? How can we determine our status?

Your State Educational Agency determines if an organization is a Local Educational Agency.

If we are not requesting funding for one or more of the designated elements, do we still need to address how that element fits into our comprehensive plan?

Yes. Your proposed SS/HS strategy is a comprehensive, integrated plan. Each proposed SS/HS strategy must describe the six elements, including the activities that will be carried out during the grant period for each element and the manner in which the activities will be integrated in a comprehensive approach. Applicants that do not request funds for certain activities under any one or more elements must explain how these needs will otherwise be met during the grant period.

Can a consortium of school districts apply for funding?

Yes. A consortium of local educational agencies (LEAs) may submit a single application; however, any consortium applying for funding must designate a single LEA as the fiscal and management entity. The location of the LEA representing the consortium will affect the size of the consortium's grant award, in accordance with the maximum amount of funding applicants can receive under urban, suburban, and rural categories. A consortium will not be eligible to receive multiple awards. Each participating LEA must sign the partnership agreement with the local law enforcement and public mental health authorities.

Does each LEA in a consortium need to submit a separate comprehensive plan, or is it okay to develop the application using the six components as a framework describing what the consortium will do?

There must be a comprehensive plan for each LEA. However each LEA does not need to provide every service--they need to demonstrate how students will access services provided through other mechanisms as part of the comprehensive plan.

We are part of a consortium of school districts applying for SS/HS. How is our urbanicity determined?

A consortium of local educational agencies (LEAs) may submit a single application; however, any consortium applying for funding must designate a single LEA as the fiscal and management entity. The location of the LEA representing the consortium determines the urbanicity of the consortium.

What happens if we request more funding than we are eligible for?

Your application may not be considered for funding. Grants will not be awarded for amounts that exceed the established caps. Applicants should ensure that their budget requests do not exceed the maximum..

How should I handle program administration costs (e.g. project director's salary, evaluation, supplies, etc.) that are associated with more than one element? Should I simply create extra elements that incorporate all of these costs?

No. Do not create more than six elements. Prorate the costs across the number of elements you are implementing.

The grant will provide funds for up to three years. Do I need to submit a budget for each project year?

Yes. Applicants must submit a 3-year budget segmented into one-year budget periods. This 3-year, line-item budget should be reflected on the budget summary form, ED Form No. 524. For the proposed project's first year, applicants must submit a budget that is further divided according to the six elements of the comprehensive plan; that is, six separate line-item budgets should be delineated that together constitute the first year's budget. Budgeting by plan element is important because different agencies fund different elements.

The application defines urban/suburban/rural applications based on some definitions by the Census Bureau. How can we determine in which category our district fits?

The National Center for Education Statistics has posted a special web page, the National Public School and School District Locator (<http://nces.ed.gov/ccdweb/school/index.asp>) to help applicants determine which category is applicable to their school district. See definitions in Appendix A for further information.

Federal Government Administrative Requirements for Review and Compliance

Applicable Department of Education Regulations

The Department of Education serves as the grant funding agency for the Safe Schools/Healthy Students Initiative. The following program regulations apply to Safe Schools/Healthy Students as described in the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 85, 97, 98 and 99.

Participation by Private School Students and Teachers

LEAs that receive a Safe Schools/Healthy Students grant are required to provide for the equitable participation of eligible private school children and their teachers or other educational personnel. In order to ensure that grant program activities address the needs of private school children, timely and meaningful consultation with appropriate private school officials must occur during the design and development of the program. Administrative direction and control over grant funds must remain with the grantee.

Maintenance of Effort

A local educational agency may receive a Safe Schools/Healthy Students grant only if the State educational agency finds that the combined fiscal effort per student or the aggregate expenditures of the agency and the State with respect to the provisions of free public education by the agency for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year.

Intergovernmental Review

This grant competition is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79.

The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact (SSPOC) to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the SSPOC for each of the States and follow the procedure established in each State under the Executive Order. The name and address of the SSPOCs can be found in Appendix F.

Any State process recommendation and other comments submitted by a SSPOC and any comments from State, areawide, regional, and local entities must be received by DATE at the following address: The Secretary, E.O. 12372–CFDA 84-184L, U.S. Department of Education, Room 6213, 400 Maryland Avenue, SW, Washington, D.C. 20202-0125.

Recommendations or comments may be hand delivered until 4:30 p.m. (Eastern Time), August 20, 2002. PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THIS ADDRESS.

Government Audit Requirements

Audits of institutions of higher education and other non-profit institutions must comply with the organizational audit requirements of OMB circular A–133, which states that recipients who expend \$300,000 or more of Federal Funds during their fiscal year, are required to submit an organization-wide financial and compliance audit report within 13 months after the close of each fiscal year during the term of the award to their cognizant Federal agency.

Civil Rights and Inclusion of Adequate Representation of Girls and Women and Racial/Ethnic Minority Populations

The Agencies urge applicants to include all populations with cultural- and gender-specific needs—especially racial/ethnic minority groups and girls and women—in the target population if feasible and appropriate.

In general, the composition of the target population should reflect the needs and demographics of the selected target community. Applicants should describe the composition of the project's target population with respect to race/ethnicity and gender and ensure that the project's design, intervention strategies, and staffing are sensitive, appropriate, and competent to address the special requirements of racial/ethnic minority groups and/or girls and women included in the target population.

When a proposal excludes a racial/ethnic minority group(s) and/or girls and women in the community from the target population, a justification for this action must be included in the application.

In general, when evaluating projects using a common intervention with populations differing by race/ethnicity, gender, or developmental age group, it is important to ascertain whether the intervention is differentially effective for these populations. Such statistical analyses should be done whenever the size of the subpopulation(s) can support such analysis.

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. All applicants should consult the assurances to understand the applicable legal and administrative requirements.

Confidentiality and Participant Protection

Applicants and awardees are expected to develop and implement appropriate procedures to address confidentiality and other ethical issues pertinent to the protection of participants in proposed projects. Confidentiality is particularly important in projects because of the illegality of drug use and the potential for stigmatization of participants in drug abuse treatment, treatment of mental illness, and the like. If participants could be exposed to any risk of problems through any failure of the project to keep information about them confidential, the applicant must develop procedures to prevent these risks and describe them in the application.

Applicants and awardees must maintain the confidentiality of alcohol and drug abuse treatment client data in accordance with 42 CFR Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records. These regulations are applicable to information about alcohol and other drug abuse patients obtained by a federally assisted program, as defined in the regulations. Projects that offer treatment for mental illness must maintain confidentiality in accordance with professional standards of practice and applicable law.

Other relevant ethical issues, such as equitable selection of participants and adequacy of care, must also be addressed in the project plans and application. If applicable, project staff must meet State and local licensure and professional accreditation standards in addition to normal professional standards of care and practice. Project directors have direct and continuing responsibility to ensure that participant protection is adequate.

Promoting Nonuse of Tobacco

All grant and contract recipients are strongly encouraged to provide a smoke-free workplace and to promote the nonuse of all tobacco products. In addition, the Pro-Children Act of 2001, Pub. L. No.107–110, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, daycare, healthcare or early childhood development services are provided to children.

Appendix A

Definitions

Local educational agency: For the purpose of this competition, the definition of the term “local educational agency” is the definition at Section 9101 (26) of the Elementary and Secondary Education Act of 1965 (ESEA), as amended:

- (1) In general—the term “local educational agency” means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.
- (2) Administrative controls and direction—The terms includes any other public institution or agency having administrative control or direction of a public elementary or secondary school.
- (3) BIA Schools—The term includes an elementary school or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under the ESEA Act with the smallest student population except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs.
- (4) Educational service agencies—The term includes educational service agencies and consortia of these agencies.
- (5) State Educational Agency—The term includes the State educational agency in any State in which the State educational agency is the sole educational agency for all public schools.

Local public mental health authority: The local public mental health authority is the legally constituted entity closest to the community level, that, directly or through contract with, the State mental health authority, provides administrative control or oversight of mental health services delivery within the community.

Prevention: Reduction of risk of onset, or delay of onset, of an adverse health, mental health, or other outcome. Prevention interventions can be characterized as *universal, selective, or indicated*, based on the level of risk associated with the groups or individuals for which the intervention is intended. Successful prevention interventions may reduce risk of onset, or they may delay onset, of negative outcomes. Preventive interventions may also include treatment interventions intended to reduce risk of comorbidity, attenuate severity of illness, or prevent relapse of episodic disorders in diagnosed populations.

Protective factor: Characteristics, variables, and/or conditions present in individuals or groups that increase resistance to risk and fortify against the development of a disorder or adverse outcome. Both protective and risk factors can vary over time.

Risk factor: Characteristics, variables, and/or hazards present in an individual or group that increase the likelihood of that individual or group developing a disorder or adverse outcome. Since both the potency and clustering of risk and protection can vary over time and developmental periods, successful, developmentally appropriate prevention interventions take this variation into account.

Rural*: A rural area is defined as:

- (1) large town—an incorporated place or a Census-designated place (CDP) with a population of at least 25,000 and located outside a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA);
- (2) small town—an incorporated place or CDP with a population between 2,500 and 24,999 and located outside a CMSA or MSA;
- (3) any incorporated place, CDP, or non-place territory designated as rural by the U.S. Bureau of the Census.

School resource officer: A career law enforcement officer, with sworn authority, deployed in community-oriented policing, and assigned by the employing police department or agency to work in collaboration with schools and community-based organizations to: (a) address crime and disorder problems, gangs, and drug activities affecting or occurring in or around an elementary or secondary school; (b) develop or expand crime prevention efforts for students; (c) educate likely school-age victims in crime prevention and safety; (d) develop or expand community justice initiatives for students; (e) train students in conflict resolution, restorative justice, and crime awareness; (f) assist in the identification of physical changes in the environment that may reduce crime in or around the school; and (g) assist in developing school policy that addresses crime and to recommend procedural changes.

Social marketing: Social marketing is a concept that differs from conventional "marketing" techniques. In social marketing, the objectives of the marketer are not focused on a product, but seek to use the core principles of marketing to influence social behaviors rather than to benefit the marketer. The beneficiaries of social marketing should be the "target audience" and the community served by the grant, and should ultimately enhance the public health and wellbeing of the community.

Suburban*: A suburban area is defined as:

- (1) urban fringe of a large city—any incorporated place, Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of Census;
- (2) urban fringe of a midsize city—any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.

Urban*: An urban area is defined as:

- (1) large city—a central city of a metropolitan statistical area (MSA) or consolidated MSA (CMSA) with a population of at least 250,000;
- (2) midsize city—central city of an MSA or CMSA with a population less than 250,000.

**Note: The definitions of rural, suburban, and urban are based upon school locale codes utilized by the National Center for Education Statistics Common Core Data (CCD) Public School Universe Data Information. The Geography Division, Bureau of the Census systematically assigned these locale codes. Codes were assigned based on the classification of the place in which each district is located. This was done by matching addresses from the CCD School Universe Survey to the U.S. Census Bureau's City Reference File.*

Appendix B

General Application Forms

Appendix C
U.S. Department of Education Special Requirements:
General Education Provisions Act

General Education Provisions Act (GEPA)

General Education Provisions Act (GEPA) section 427 affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, to receive funding.

Requirements

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, and so forth, from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or if appropriate, may be discussed in connection with related topics in the application.

A general statement of an applicant's nondiscriminatory policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the awarded Federal funds to eliminate barriers it identifies.

Examples

The following examples may help illustrate how an applicant may comply with section 427:

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their

native languages.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct outreach efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

Appendix D
U.S. Department of Health and Human Services
Special Requirements:

Confidentiality and Participant Protection

Single State Agency Coordination for Mental Health

Confidentiality and Participant Protection

The information provided in this section will be used to determine whether the level of protection of participants appears adequate or whether further provisions are needed. Adequate protection of participants is an essential part of an application and will be considered in funding decisions.

Projects proposed under this announcement may expose participants to risks in as many ways as projects can differ from each other. Applicants should report in an appendix to their application any foreseeable risks for project participants and the procedures developed to protect participants from those risks, as set forth below. Applicants should discuss how each element will be addressed or why it does not apply to the project.

Protection from Potential Risks

- (a) Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse effects, besides the confidentiality issues addressed below, that are due to (i) participation in the project itself, or (ii) the evaluation activities.**
- (b) If appropriate, describe alternative treatments and procedures that might be advantageous to the subjects and the rationale for their nonuse.**
- (c) Describe the procedures that will be followed to minimize or protect participants against potential risks, including risks to confidentiality.**
- (d) If appropriate, specify plans to provide needed professional intervention in the event of adverse effects to participants.**

Equitable Selection of Participants

Target population(s):

Describe the sociodemographic characteristics of the target population(s) for the proposed project, including age, gender, racial/ethnic composition, and other distinguishing characteristics (e.g., homeless youth, foster children, children of substance abusers, or other special population groups).

Recruitment and Selection

- (a) Specify the criteria for inclusion or exclusion of participants and explain the rationale for these criteria.**

(b) Explain the rationale for the use of special classes of subjects, who are likely to be vulnerable.

(c) Summarize the recruitment and selection procedures, including the circumstances under which participation will be sought and who will seek it.

Absence of Coercion

Explain whether participation in the project is voluntary or mandatory. Identify any potentially coercive elements that may be present.

Appropriate Data Collection:

(a) Identify from whom data will be collected (e.g., participants, family members, teachers) and by what means or sources (e.g., school records, personal interviews, written questionnaires, psychological assessment instruments, observation).

(b) Identify the form of records or data. Indicate whether the material or data will be obtained specifically for evaluative purposes or whether use will be made of existing records or data. Also, if appropriate, describe the provisions for monitoring the data to ensure the safety of subjects.

(c) Provide in appendix IV of the application copies of all available data collection instruments and interview protocols that will be used.

Privacy and Confidentiality

Specify the procedures that will be implemented to ensure privacy and confidentiality, including by whom and how data will be collected, procedures for administration of data collection instruments, where data will be stored, who will and will not have access to information, and how participants' identities will be safeguarded (e.g., through the use of a coding system on data records, limiting access to records, storing identifiers separately from data).

Note: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records in accordance with the provisions of title 42 of the Code of Federal Regulations, part 2 (42 CFR, pt. 2).

Adequate Consent Procedures

(a) Specify what information will be provided to participants regarding the nature and purpose of their participation; the voluntary nature of their participation; their right to withdraw from the project at any time, without prejudice; anticipated use of data;

procedures for maintaining confidentiality of the data; potential risks; and procedures that will be implemented to protect participants against these risks.

Note: If the project poses potential physical, medical, psychological, legal, social, or other risks, awardees may be required to obtain written informed consent.

(b) Indicate whether it is planned to obtain informed consent from participants and/or their parents or legal guardians, and describe the method of documenting consent. For example: Are consent forms read to individuals? Are prospective participants questioned to ensure they understand the forms? Are they given copies of what they sign?

(c) Indicate whether separate consents will be obtained for different stages or aspects of the project and whether consent for the collection of evaluative data will be required for participation in the project itself. For example, will separate consent be obtained for the collection of evaluation data in addition to the consent obtained for participation in the intervention, treatment, or services project itself? Will individuals not consenting to the collection of individually identifiable data for evaluative purposes be permitted to participate in the project?

Risk/Benefit Discussion

Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

Single State Agency Coordination for Mental Health

Applicants that include a mental health component must ensure coordination with the Single State Agency (SSA) for mental health as required under section 501(d)(13)(B) of the Public Health Service Act to help ensure communication, reduce duplication, and facilitate continuity. Applicants must send a letter to the SSA that briefly describes the project. The copy should be included in an appendix of the application, entitled Letter to SSA. The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the deadline date for the receipt of applications to:

Division of Extramural Activities, Policy, and Review (DEAPR)
Substance Abuse and Mental Health Services Administration
Parklawn Building, Room 17-89
5600 Fishers Lane
Rockville, MD 20857
Attn: SSA - CFDA No. 84-184L

Applicants may request that the SSA send them a copy of any State comments. A listing of SSAs can be found in Appendix F.

Appendix E

COPS Forms

Please Note:

Additional instructions and information for completing the COPS forms in this Appendix are available at:

http://www.usdoj.gov/cops/cis_sshs_2002/e04021503_appinst2.pdf

Appendix F
Contact Lists:

State Single Point of Contacts

Single State Agency Coordination for Mental Health

State Single Points of Contact

In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact. Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington. However, an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a Single State Point of Contact.

AMERICAN SAMOA

PAT M. GALEA'I
Office of Federal Programs
Office of the Governor/Department
of Commerce
American Samoa Government
Pago Pago, American Samoa 96799
(684) 633-5155
(684) 633-4195 fax
pmgaleai@samoatelco.com

ARIZONA

JONI SAAD
Arizona State Clearinghouse
3800 North Central Avenue, 14th Fl.
Phoenix, AZ 85012
(602) 280-1315
(602) 280-8144 fax
jonis@ep.state.az.us

ARKANSAS

TRACY L. COPELAND
Manager, State Clearinghouse
Off. of Intergovernmental Services
Dept. of Finance & Administration
1515 West 7th Street, Room 412
Little Rock, AR 72203
(501) 682-1074
(501) 682-5206 fax
tlcopeland@dfa.state.ar.us

CALIFORNIA

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, CA 95812-3044
(916) 445-0613
(916) 323-3018 fax
state.clearinghouse@opr.ca.gov

DELAWARE

CHARLES H. HOPKINS
Executive Department
Office of the Budget
540 South Dupont Highway, 3rd Fl.
Dover, DE 19901
(302) 739-3323
(302) 739-5661 fax
chopkins@state.de.us

DISTRICT OF COLUMBIA

LUISA MONTERO-DIAZ
Office of Partnerships & Grants Development
Executive Office of the Mayor
441 4th Street NW., Suite 530 South
Washington, DC 20005
202-727-8900
202-727-1652 (fax)
opgd.eom@dc.gov

FLORIDA

JASMIN RAFFINGTON

Florida State Clearinghouse
Department of Community Affairs
2555 Shumard Oak Boulevard
Tallahassee, FL 32399-2100
850-922-5438
850-414-0479 (fax)
clearinghouse@dca.state.fl.us

GEORGIA

Georgia State Clearinghouse
270 Washington Street SW.
Atlanta, GA 30334
404-656-3855
404-656-7901 (fax)
gach@mail.opb.state.ga.us

GUAM

Director
Bureau of Budget and Management Research
Office of the Governor
P.O. Box 2950
Agana, GU 96910
011-671-472-2285
011-671-472-2825
jer@ns.gov.gu

ILLINOIS

VIRGINIA BOVA

Department of Commerce and Community Affairs
James R. Thompson Center
100 West Randolph Street, Suite 3-400
Chicago, IL 60601
312-814-6028
312-814-8485 (fax)
vbova@commerce.state.il.us

IOWA

STEVEN R. MCCANN

Division of Community and Rural Development
Iowa Department of Economic Development
200 East Grand Avenue
Des Moines, IA 50309
515-242-4719
515-242-4809 (fax)
steve.mccann@ided.state.ia.us

KENTUCKY

RON COOK

Department for Local Government
1024 Capital Center Drive, Suite 340
Frankfort, KY 40601
502-573-2382
502-573-2512 (fax)
ron.cook@mail.state.ky.us

MAINE

JOYCE BENSON

State Planning Office
184 State Street
38 State House Station
Augusta, ME 04333
207-287-3261 or 207-287-1461
207-287-6489 (fax)
joyce.benson@state.me.us

MARYLAND

LINDA JANEY

Clearinghouse and Plan Review Unit
Maryland Office of Planning
301 West Preston Street, Room 1104
Baltimore, MD 21201-2305
410-767-4490
410-767-4480 (fax)
linda@mail.op.state.md.us

MICHIGAN

RICHARD PFAFF

Southeast Michigan Council of Governments
660 Plaza Drive, Suite 1900
Detroit, MI 48226
313-961-4266
313-961-4869 (fax)
pfaff@semcog.org

MISSISSIPPI

CATHY MALLETT

Clearinghouse Officer
Department of Finance and Administration
303 Walters Sillers Building
550 High Street
Jackson, MS 39201-3087
601-359-6762
601-359-6758 (fax)

MISSOURI

ANGELA BOESSEN

Federal Assistance Clearinghouse
Office of Administration
Truman Building, Room 840
P.O. Box 809
Jefferson City, MO 65102
573-751-4834
573-522-4395 (fax)
igr@mail.oa.state.mo.us

NEVADA

HEATHER ELLIOTT

Department of Administration
State Clearinghouse
209 East Musser Street, Room 200
Carson City, NV 89701
755-684-0209
755-684-0260 (fax)
helliott@govmail.state.nv.us

NEW HAMPSHIRE

PUERTO RICO

JEFFREY H. TAYLOR

New Hampshire Office of State Planning
Attn: Intergovernmental Review Process, Mike
Blake
2½ Beacon Street
Concord, NH 03301
603-271-2155
603-271-1728 (fax)
jtaylor@osp.state.nh.us

NEW MEXICO

KEN HUGHES

Local Government Division
Bataan Memorial Building, Room 201
Santa Fe, NM 87503
505-827-4370
505-827-4948 (fax)
khughes@dfa.state.nm.us

NORTH CAROLINA

JEANETTE FURNEY

Department of Administration
1302 Mail Service Center
Raleigh, NC 27699-1302
919-807-2323
919-733-9571 (fax)
jeanette.furney@ncmail.net

NORTH DAKOTA

JIM BOYD

Division of Community Services
600 East Boulevard Avenue, Department 105
Bismark, ND 58505-0170
701-328-2094
701-328-2308 (fax)
jboyd@state.nd.us

NORTHERN MARIANA ISLANDS

JACOBA T. SEMAN

Federal Programs Coordinator
Office of Management and Budget
Office of the Governor
Saipan, MP 96950
011-670-664-2289
011-670-644-2272 (fax)
omb.jseman@saipan.com

JOSE CABALLERO/MAYRA SILVA

**Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan, PR 00940-1119
787-723-6190
787-722-6783 (fax)**

RHODE ISLAND

KEVIN NELSON

**Department of Administration
Statewide Planning Program
One Capitol Hill
Providence, RI 02908-5870
401-222-2093
401-222-2083 (fax)
knelson@doa.state.ri.us**

SOUTH CAROLINA

OMEAGIA BURGESS

**Office of State Budget
Budget and Control Board
1122 Ladies Street, 12th Floor
Columbia, SC 29201
803-734-0494
803-734-0645 (fax)
aburgess@budget.state.sc.us**

TEXAS

DENISE S. FRANCIS

**State Grants Team
Governor's Office of Budget and Planning
P.O. Box 12428
Austin, TX 78711
512-305-9415
512-936-2681 (fax)
dfrancis@governor.state.tx.us**

UTAH

Single State Agencies for Mental Health

ALABAMA

CAROLYN WRIGHT

**Utah State Clearinghouse
Governor's Office of Planning and Budget
State Capitol, Room 114
Salt Lake City, UT 84114
801-538-1535
801-538-1547 (fax)
cwright@gov.state.ut.us**

VIRGIN ISLANDS

IRA MILLS

**Office of Management and Budget
#41 Norregade Emancipation Garden Station,
Second Floor
St. Thomas, VI 00802
340-774-0750
340-776-0069 (fax)
irmills@usvi.org**

WEST VIRGINIA

FRED CUTLIP

**Community Development Division
West Virginia Development Office
Building 6, Room 553
Charleston, WV 25305
304-558-4010
304-558-3248 (fax)
fcutlip@wvdo.org**

WISCONSIN

JEFF SMITH

**Federal/State Relations
Wisconsin Department of Administration
P.O. Box 7868
101 East Wilson Street, Sixth Floor
Madison, WI 53707
608-266-0267
608-267-6931 (fax)
jeffrey.smith@doa.state.wi.us**

***KATHY E. SAWYER*
Commissioner**

Department of Mental Health
and Mental Retardation
P.O. Box 301410
Montgomery, AL 36130-1410
Phone: (334) 242-3107
Fax: (334) 242-0684
E-mail: ksawyer@mh.state.al.us
** RSA Union Bldg., 100 N. Union Street

ALASKA

WALTER MAJOROS
Director
Division of Mental Health
and Developmental Disabilities
Department of Health and Social Services
350 Main St., Suite 214
P.O. Box 110620
Juneau, AK 99811-0620
Phone: (907) 465-3370
Fax: (907) 465-2668
E-mail: Walter_Majoros@health.state.ak.us

AMERICAN SAMOA

MARIE F. MA'O
Director
Department of Human and Social Services
P.O. Box 997534
American Samoa Government
Pago Pago, AS 96799
Phone: (684) 633-2609
Fax: (684) 633-7449
E-mail: dhss@samoatelco.com

ARIZONA

CONNECTICUT

THOMAS A. KIRK, PH.D.
Commissioner
Department of Mental Health
and Addiction Services

LESLIE SCHWALBE
Deputy Director
Department of Health Services
Division of Behavioral Health Services
2122 East Highland, Suite 100
Phoenix, AZ 85016
Phone: (602) 381-8999
Fax: (602) 553-9140
E-mail: lschwal@hs.state.az.us

ARKANSAS

RICHARD HILL
Director
Division of Mental Health Services
Department of Human Services
4313 West Markham Street
Little Rock, AR 72205-4096
Phone: (501) 686-9164
Fax: (501) 686-9182
E-mail: richard.hill@mail.state.ar.us

CALIFORNIA

STEPHEN W. MAYBERG, PH.D.
Director
Department of Mental Health
Health and Human Services Agency
1600 9th Street, Room 150
Sacramento, CA 95814
Phone: (916) 654-2309
Fax: (916) 654-3198
E-mail: smayberg@dmhhq.state.ca.us

COLORADO

TOM BARRETT, PH.D.
Director
Division of Mental Health Services
Department of Human Services
3824 West Princeton Circle
Denver, CO 80236
Phone: (303) 866-7401
Fax: (303) 866-7428
E-mail: tom.barrett@state.co.us

410 Capitol Avenue, MS#14COM
Hartford, CT 06106
Phone: (860) 418-6969
Fax: (860) 418-6691
E-mail: thomas.kirk@po.state.ct.us

DELAWARE

RENATA J. HENRY

Director

**Division of Substance Abuse
and Mental Health**

Department of Health and Social Services

1901 North Dupont Highway

New Castle, DE 19720

Phone: (302) 577-4461

Fax: (302) 577-4484

E-mail: rehenry@state.de.us

DISTRICT OF COLUMBIA

MARTHA B. KNISLEY

Director

Department of Mental Health

77 P Street, NE, 4th Floor

Washington, DC 20002

Phone: (202) 673-2200

Fax: (202) 673-3433

E-mail: marti.knisley@dc.gov

FLORIDA

CELESTE PUTNAM

Director of Mental Health

Mental Health Program Office

Department of Children and Families

1317 Winewood Boulevard

Building 6, Room 275

Tallahassee, FL 32399-0700

Phone: (850) 488-8304

Fax: (850) 487-2239

E-mail: celeste_putnam@dcf.state.fl.us

GEORGIA

KARL H. SCHWARZKOPF, PH.D.

Acting Director

Division of Mental Health,

Mental Retardation and Substance Abuse

ILLINOIS

LEIGH STEINER, PH.D.

Associate Director

Department of Human Services

Office of Mental Health

100 South Grand Avenue East

Department of Human Resources

2 Peachtree Street, Suite 22.224

Atlanta, GA 30303

Phone: (404) 657-2260

Fax: (404) 657-1137

E-mail: khschwarzkopf@dhr.state.ga.us

GUAM

AURORA F. CABANERO

Acting Director

Department of Mental Health

and Substance Abuse

790 Governor Carlos G. Camacho Road

Tamuning, GU 96911

Phone: (671) 647-5330/5448

Fax: (671) 649-6948

E-mail: aurorac@mail.gov.gu

HAWAII

ANITA SWANSON

Deputy Director for Behavioral Health

Department of Health

1250 Punchbowl St.

P.O. Box 3378

Honolulu, HI 96813

Phone: (808) 586-4416

Fax: (808) 586-4444

E-mail: alswanso@mail.health.state.hi.us

IDAHO

ROY SARGEANT, M.A., M.B.A.

Chief

Bureau of Mental Health

and Substance Abuse

Department of Health and Welfare

450 West State Street, 5th Floor

Boise, ID 83720

Phone: (208) 334-5528

Fax: (208) 334-6699

E-mail: sargeant@idhw.state.id.us

Harris II, 2nd Floor

Springfield, IL 62762

Phone: (217) 782-3731

Fax: (217) 782-2406

E-mail: dhsmhyb@dhs.state.il.us

INDIANA

JANET CORSON, J.D.

Director

**Division of Mental Health & Addiction
Family and Social Services Administration
402 West Washington Street, Room W-353
Indianapolis, IN 46204-2739**

Phone: (317) 232-7845

Fax: (317) 233-3472

E-mail: jcorson@fssa.state.in.us

IOWA

CATHY ANDERSON

Deputy Director for Policy

Department of Human Services

Hoover State Office Building

1305 East Walnut Street, 5th Floor

Des Moines, IA 50319-0114

Phone: (515) 281-5452

Fax: (515) 281-4980

E-mail: canders@dhs.state.ia.us

KANSAS

LAURA HOWARD

Assistant Secretary

Division of Health Care Policy

Department of Social and Rehabilitation Services

Docking State Office Building

5th Floor North, 915 SW Harrison

Topeka, KS 66612-1570

Phone: (785) 296-3773

Fax: (785) 296-5507

E-mail: lkzh@srskansas.org

KENTUCKY

MARGARET PENNINGTON

Commissioner

Department of Mental Health and

Mental Retardation Services

100 Fair Oaks Lane, 4E-B

Frankfort, KY 40621-0001

MASSACHUSETTS

MARYLOU SUDDERS

Commissioner

Department of Mental Health

25 Staniford Street

Boston, MA 02114

Phone: (502) 564-4527

Fax: (502) 564-5478

E-mail: margaret.pennington@mail.state.ky.us

LOUISIANA

WARREN TAYLOR PRICE, JR.

Assistant Secretary

Office of Mental Health

Department of Health and Hospitals

P.O. Box 4049, Bin #12

Baton Rouge, LA 70821-4049

Phone: (225) 342-2540

Fax: (225) 342-5066

E-mail: wtpri@dhhs.state.la.us

****1201 Capitol Access Road, 4th Floor, 70802**

MAINE

LYNN F. DUBY

Commissioner

Department of Behavioral

and Developmental Services

40 State House Station

Augusta, ME 04333

Phone: (207) 287-4223

Fax: (207) 287-4268

E-mail: lynn.f.duby@state.me.us

MARYLAND

OSCAR MORGAN

Director

Mental Hygiene Administration

Department of Health and Mental Hygiene

Spring Grove Hospital Center

55 Wade Avenue, Dix Building

Catonsville, MD 21228

Phone: (410) 402-8300

Fax: (410) 402-8301

E-mail: morgano@dhmh.state.md.us

Phone: (617) 626-8123

Fax: (617) 626-8131

E-mail: marylou.sudders@dmh.state.ma.us

MICHIGAN

TERRY GEIGER

Acting Deputy Director

Mental Health and Substance Abuse Services
Department of Community Health
Lewis Cass Building, 6th Floor
320 South Walnut Street
Lansing, MI 48913
Phone: (517) 335-0196
Fax: (517) 335-3090
E-mail: geigert@state.mi.us

MINNESOTA

SHARON AUTIO
Director
Mental Health Program Division
Department of Human Services
Human Services Building
444 Lafayette Road
St. Paul, MN 55155-3828
Phone: (651) 582-1810
Fax: (651) 582-1831
E-mail: sharon.autio@state.mn.us

MISSISSIPPI

ALBERT "RANDY" HENDRIX, PH.D.
Director
Department of Mental Health
1101 Robert E. Lee Building
239 North Lamar Street
Jackson, MS 39201
Phone: (601) 359-1288
Fax: (601) 359-6295
E-mail: sstokes@ms.dmh.org

MISSOURI

DORN SCHUFFMAN
Director
Department of Mental Health
1706 East Elm Street
P.O. Box 687
Jefferson City, MO 65101
NEW HAMPSHIRE

THOMAS E. KEANE
Director
Division of Behavioral Health
105 Pleasant Street
Concord, NH 03301

Phone: (573) 751-3070
Fax: (573) 526-7926
E-mail: mzschud@mail.dmh.state.mo.us

MONTANA

DAN ANDERSON
Administrator
Addictive and Mental Disorders Division
Department of Public Health
and Human Services
555 Fuller Avenue
P.O. Box 202905
Helena, MT 59620-2905
Phone: (406) 444-3969
Fax: (406) 444-9389
E-mail: daanderson@state.mt.us

NEBRASKA

GEORGE HANIGAN
Deputy Director
Division of Behavioral Health
Department of Health and Human Services
P.O. Box 94728
Lincoln, NE 68509
Phone: (402) 479-5117
Fax: (402) 479-5162
E-mail: george.hanigan@hhs.state.ne.us

NEVADA

CARLOS BRANDENBURG, PH.D.
Administrator
Division of Mental Health
and Developmental Disabilities
Department of Human Resources
505 East King Street, Room 602
Carson City, NV 89701-3790
Phone: (775) 684-5943
Fax: (775) 684-5966
E-mail: cbrandenburg@dhr.state.nv.us

Phone: (603) 271-5007
Fax: (603) 271-5058
E-mail: tkeane@dhhs.state.nh.us

NEW JERSEY
ALAN G. KAUFMAN
Director

Division of Mental Health Services
Department of Human Services
50 East State Street, Capitol Center
P.O. Box 727
Trenton , NJ 08625
Phone: (609) 777-0702
Fax: (609) 777-0662
E-Mail: dmhsmail@dhs.state.nj.us

NEW MEXICO

MARY SCHUMACHER
Director
Behavioral Health Services Division
Department of Health
1190 St. Francis Drive, Room N3300
Santa Fe, NM 87502-6110
Phone: (505) 827-2601
Fax: (505) 827-0097

NEW YORK

JAMES L. STONE, M.S.W.
Commissioner
Office of Mental Health
44 Holland Avenue
Albany, NY 12229
Phone: (518) 474-4403
Fax: (518) 474-2149
E-mail: cocojls@omh.state.ny.us

NORTH CAROLINA

RICHARD J. VISINGARDI, PH.D.
Director
Division of Mental Health, Developmental
Disabilities and Substance Abuse
Department of Health and Human Services
OREGON

BARRY S. KAST, M.S.W.
Assistant Director
Health Services Administration
Department of Human Services
2575 Bittern Street, NE., P.O. Box 14250
Salem, OR 97309-0740

3001 Mail Service Center
Raleigh, NC 27699-3001
Phone: (919) 733-7011
Fax: (919) 733-1221
E-mail: rich.visingardi@ncmail.net

NORTH DAKOTA
BONNIE SELZLER, PH.D.
Assistant Director for Mental Health
Department of Human Services
Division of Mental Health and
Substance Abuse Services
600 South 2nd Street, Suite 1D
Bismarck, ND 58504-5729
Phone: (701) 328-8941
Fax: (701) 328-8969
E-mail: soselb@state.nd.us

OHIO

MICHAEL F. HOGAN, PH.D.
Director
Department of Mental Health
30 East Broad Street, 8th Floor
Columbus, OH 43266-0414
Phone: (614) 466-2337
Fax: (614) 752-9453
E-mail: hoganm@mhmail.mh.state.oh.us

OKLAHOMA

TERRY CLINE, PH.D.
Commissioner
Department of Mental Health
and Substance Abuse Services
P.O. Box 53277
Oklahoma City, OK 73152-3277
Phone: (405) 522-3878
Fax: (405) 522-0637
E-mail: tcline@odmhsas.org
** 1200 North East 13th Street
Oklahoma City, OK 73117

Phone: (503) 945-9499
Fax: (503) 378-3796
E-mail: barry.s.kast@state.or.us

PENNSYLVANIA

GERALD F. RADKE
Deputy Secretary

Office of Mental Health and
Substance Abuse Services
Department of Public Welfare
P.O. Box 2675
Harrisburg, PA 17105-2675
Phone: (717) 787-6443
Fax: (717) 787-5394
E-mail: gradke@state.pa.us
** Health & Welfare Bldg, Room 502, Commonwealth
& Forster Streets, Harrisburg, PA 17120

PUERTO RICO

CARLOS CABRERA BONET, M.H.S.A.
Director, Clinical Services
Adult Treatment Services Administration
Mental Health and Anti-Addiction
Service Administration
P.O. Box 21414
San Juan, PR 00928-1414
Phone: (787) 763-7575
Fax: (787) 765-7104

RHODE ISLAND

A. KATHRYN POWER
Director
Department of Mental Health,
Retardation and Hospitals
14 Harrington Road, Barry Hall
Cranston, RI 02920
Phone: (401) 462-3201
Fax: (401) 462-3204
E-mail: kpowers@mhrr.state.ri.us

SOUTH CAROLINA

GEORGE GINTOLI
Director
Office of the State Director
Department of Mental Health
2414 Bull Street, Suite 321 (P.O. Box 485)
Columbia, SC 29202

UTAH

RANDALL W. BACHMAN
Director
Division of Mental Health
Department of Human Services
120 N 200 W, 4th Floor, Suite 415
Salt Lake City, UT 84103
Phone: 801/538-4270

Phone: (803) 898-8319
Fax: (803) 898-8586
E-mail: gpg97@co.dmh.state.sc.us

SOUTH DAKOTA

KIM MALSAM-RYSDON
Director
Division of Mental Health
Department of Human Services
East Highway 34, Hillview Plaza
c/o 500 East Capitol
Pierre, SD 57501-5070
Phone: (605) 773-5991
Fax: (605) 773-5483

TENNESSEE

ELISABETH RUKEYSER
Commissioner
Department of Mental Health
and Developmental Disabilities
Cordell Hull Building, 3rd Floor
425 Fifth Avenue, North
Nashville, TN 37243-0675
Phone: (615) 532-6500
Fax: (615) 532-6514
E-mail: elisabeth.rukeyser@state.tn.us

TEXAS

KAREN F. HALE
Commissioner
Department of Mental Health
and Mental Retardation
909 West 45th Street, P.O. Box 12668
Austin, TX 78711-2668
Phone: (512) 206-4588
Fax: (512) 206-4560
E-mail: karen.hale@mhmr.state.tx.us
** 909 West 45th Street
Austin, TX 78756

Fax: 801/538-9892
E-mail: rbachman@dhs.state.ut.us

VERMONT

SUSAN BESIO
Commissioner
Department of Developmental
and Mental Health Services

103 South Main Street
Waterbury, VT 05671-1601
Phone: (802) 241-2610
Fax: (802) 241-1129
E-mail: sbesio@ddmhs.state.vt.us

VIRGIN ISLANDS

JASLENE WILLIAMS
Assistant Director
Mental Health, Alcoholism,
and Drug Dependency Services
3500 Richmond Christianstead
St. Croix, USVI 00820
Phone: (340) 773-1311 x3011
Fax: (340) 773-7900

VIRGINIA

JAMES S. REINHARD, M.D.
Commissioner
Department of Mental Health, Mental
Retardation and Substance Abuse Services
P.O. Box 1797
Richmond, VA 23218
Phone: (804) 786-3921
Fax: (804) 371-6638
E-mail: jreinhard@dmhmrsas.state.va.us
** 109 Governor Street
Richmond, VA 23219

WASHINGTON

KARL BRIMNER
Director
Mental Health Division
Department of Social and Health Services
P.O. Box 45320, 14th and Jefferson Streets
Olympia, WA 98504
Phone: (360) 902-0790
Fax: (360) 902-0809
E-mail: brimnkr@dshs.wa.gov

WEST VIRGINIA

JEROME E. LOVRIEN
Commissioner
Bureau for Behavioral Health and
Health Facilities
350 Capitol Street, Room 350

Charleston, WV 25301-3702
Phone: (304) 558-0298
Fax: (304) 558-2230
E-mail: jerrylovrien@wvdhhr.org

WISCONSIN

JOYCE ALLEN
Interim Director
Division of Supportive Living
Bureau of Community Mental Health
Department of Health and Family Services
1 West Wilson St., Room #433
P.O. Box 7851
Madison, WI 53707-7851
Phone: (608) 266-1351
Fax: (608) 267-7793
E-mail: allenj@dhfs.state.wi.us
** 1 West Wilson Street
Madison, WI 53702

WYOMING

PABLO HERNANDEZ, M.D.
Administrator
Mental Health Division
Department of Health
P.O. Box 177
Evanston, WY 82931-0177
Phone: 307/789-3464, ext. 354
Fax 307/789-5277
email: pherna@state.wy.us